

TABLE OF CONTENTS

1.0 PURPOSE 4

2.0 SCOPE..... 4

3.0 PROCESS 4

3.1 Roles and Responsibilities 4

3.2 Instructions 5

4.0 RECORDS 7

4.1 QA Records 7

4.2 Non-QA Records 7

5.0 DEFINITIONS 7

APPENDIX A - PROCESS FLOW CHART AND CONTROL SYSTEM 9



TVA STANDARD PROGRAMS AND PROCESSES	RECOGNIZE AND REWARD SAFETY PERFORMANCE	TVA-SPP-18.007 Rev. 1 Page 4 of 10
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1.0 PURPOSE

The objective of this process is to promote safe work performance through recognition and awards.

2.0 SCOPE

This process applies to all TVA employees.

3.0 PROCESS

The quality indicator for this process is the level of awareness and perception of effectiveness among employees as determined from the results of periodic surveys. (Q1) The following criteria are used to evaluate the efficiency and effectiveness of this process. In addition to Q1, the process indicator shown in ***bold italic*** is tracked and results reported periodically to management.

- A. Prepare a recognition and awards plan for inclusion in each organization's business plan. (P1)
- B. Conduct performance reviews quarterly as part of the business plan review. (P2)
- C. ***Evaluate process effectiveness every three years. (P3)***

3.1 Roles and Responsibilities

Designated Agency Safety and Health Official (DASHO)/Corporate Safety

- A. Establishes criteria for TVA-wide safety recognition.
- B. Approves and publishes this process.
- C. Assists with development, communication, and implementation of annual safety recognition plans, upon request.
- D. Tracks performance.
- E. Evaluates process effectiveness.

Primary Sponsor

Chairs the TVA Safety Program Process Improvement Team and recommends changes in this process to the DASHO.

TVA Safety Program Process Improvement Team

Receives, reviews, evaluates, and recommends action proposed by employees on suggested improvements to this process.

Chief Operating Officer (COO) or Executive Vice Presidents (EVPs)

- A. Establish criteria for safety recognition within their respective organizations.
- B. Develop, communicate, and implement annual safety recognition plans as part of their business plans.
- C. Reward performance if recognition plan criteria are achieved.



TVA STANDARD PROGRAMS AND PROCESSES	RECOGNIZE AND REWARD SAFETY PERFORMANCE	TVA-SPP-18.007 Rev. 1 Page 5 of 10
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- D. Determine causes if recognition plan criteria are not achieved.
- E. Periodically evaluate process effectiveness.

Manager in Charge of the Workplace

- A. Establishes criteria for safety recognition within his/her organization.
- B. Develops, communicates, and implements annual safety recognition plans as part of their business plans.
- C. Rewards performance if recognition plan criteria are achieved.
- D. Determines causes if recognition plan criteria are not achieved.
- E. Periodically evaluates process effectiveness.

Employees

- A. Provide input to development of safety recognition criteria, as requested.
- B. Assist with development of annual safety recognition plans, as requested.
- C. Support implementation of annual recognition plans by working safely.
- D. Participate in periodic evaluations of process effectiveness, as requested.

3.2 Instructions

NOTE 1 Regulatory and other “drivers” for this process include the following.

- A. **Winning Performance - “Our Plan for Success”** (the process TVA uses to manage agency performance by identifying activities that must be done well to be successful, measuring performance in these areas, and committing resources necessary for accomplishment).
- B. **TVA Principles and Practices, Health and Safety 6, Safety Recognition and Rewards Program** (references this document for TVA’s overall program for recognizing and rewarding employee safety performance).
- C. **TVA Principles and Practices, Health and Safety Practice 2, Safety** (outlines TVA’s overall safety program, including provisions for recognition and awards).
- D. **TVA-SPP-18.0, “TVA Safety Program”** (describes the key features of TVA’s safety program, including requirements for recognition and awards).
- E. **TVA-SPP-18.002, “Establish Annual Safety Goals”** (defines TVA requirements for establishing annual safety performance goals).
- F. **TVA-SPP-18.012, “Report and Investigate Injuries and Illnesses”** (defines TVA requirements for reporting and investigating injuries and illnesses).



TVA STANDARD PROGRAMS AND PROCESSES	RECOGNIZE AND REWARD SAFETY PERFORMANCE	TVA-SPP-18.007 Rev. 1 Page 6 of 10
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NOTE 2 Parenthesis (xx) in the paragraph headings that follow refer to symbols shown in the flow chart and control system for this process which are included as [Appendix A](#).

3.2.1 Establish Criteria (A1, A2, and T1)

- A. The business plan for each organization will provide for recognition of good safety performance. (P1)
- B. Recognition and award criteria may be based on achievement of:
 - 1. Statistical indicators, such as the all injury rate (AIR), total recordable incidence rate (TRIR), and/or lost-time incidence rate (LTIR) [presently included on TVA and strategic business unit score cards], described in [TVA-SPP-18.012](#).
 - 2. Activity-based goals developed from [TVA-SPP-18.002](#).
 - 3. Individual activities, such as behavior-based safety programs.
- C. Awards may be in the form of Winning Performance, cash, gift certificates, or tangible personal property (See restrictions below).

Internal Revenue Income Tax Code Restrictions on Safety Award Gifts and Gift Certificates - Under the Internal Revenue Code, gifts of tangible personal property given to an employee for a safety award can be excluded from the employee's income if the total value of all safety awards given to the employee in the year does not exceed \$400. The award must be made as part of a meaningful safety award presentation and under circumstances which make it clear that the gift is not just disguised compensation.

Note: The above safety award exclusion only applies to gifts of tangible personal property. Gifts of cash are always included in income. Under the IRS' de minimis fringe benefit rules, TVA also excludes from income gift certificates of up to a total of \$50 per employee per year if the gift certificates are not the equivalent of cash (e.g., they must be fully redeemed for a product at a particular store).

- D. Expenses associated with administering awards and recognition programs, e.g., costs for lunches, banquets, and other hospitality items, are borne by each organization.
- E. Organizations track program costs to assist in determining effectiveness.
- F. *keepsafe It's everyone's business.* is the identifier for TVA's safety program. Organizations are encouraged to use this identifier as one means of promoting safety awareness and employee participation throughout the agency. Electronic versions of this identifier are available from Corporate Safety.

3.2.2 Communicate Criteria (A3)

Each organization communicates the criteria in its recognition and awards plan to all employees. Typical means of communication include:

- A. Electronic media.
- B. Safety meetings.
- C. Employee and supervisor performance reviews.



TVA STANDARD PROGRAMS AND PROCESSES	RECOGNIZE AND REWARD SAFETY PERFORMANCE	TVA-SPP-18.007 Rev. 1 Page 7 of 10
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3.2.3 Implement Plan (A4)

Managers and other employees implement the recognition and awards plan described in their organization's business plan. (P2)

3.2.4 Evaluate Results (A5 - A7, D1, D2, and T2)

- A. Each organization evaluates performance relative to the safety recognition criteria in the business plan.
- B. Results from these evaluations (both successes and failures) are shared with employees.
- C. Each organization rewards performance to the extent established criteria are met.
- D. The adequacy of this process is assessed at all organization levels through periodic program evaluations.
- E. The DASHO/Corporate Safety evaluates effectiveness of this process at least once every three years. (P3).

4.0 RECORDS

4.1 QA Records

There are no QA records generated by this process.

4.2 Non-QA Records

The following non-QA records are generated by this process.

- A. The COO, EVPs, and managers in charge of workplaces prepare annual safety recognition plans. These managers maintain these plans for two years.
- B. Assessments of process effectiveness are conducted periodically by the DASHO/Corporate Safety, COO or EVPs, and managers in charge of TVA workplaces. Assessments conducted by the DASHO/Corporate Safety are maintained as permanent records. Other assessments are maintained by the performing organization/individual for two years.

5.0 DEFINITIONS

All injury rate (AIR) - the number of work-related injuries or illnesses resulting in either a fatality, lost-time¹, medical treatment², or other compensable incident³ per 200,000 hours worked (100 employees).

Corporate Safety – an organization that provides direct support to the DASHO.

¹ Lost-time results when a nonfatal injury/illness prevents an employee from reporting to work on any of his/her regularly scheduled work days following the event.

² Medical treatment occurs when an injury/illness requires the attention of a physician or other registered professional personnel under the orders of a physician.

³ Other compensable incidents include injuries/illnesses that result in the creation of a case by the Office of Workers' Compensation Programs and that do not other meet the medical treatment or lost-time classification criteria.



TVA STANDARD PROGRAMS AND PROCESSES	RECOGNIZE AND REWARD SAFETY PERFORMANCE	TVA-SPP-18.007 Rev. 1 Page 8 of 10
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Designated Agency Safety and Health Official (DASHO) - the individual who represents the interest and support of the TVA Board in the management and administration of the agency's occupational safety and health program. The Executive Vice President, Human Resources, currently fills this position.

Lost-time incidence rate (LTIR) - the number of work-related injuries or illnesses resulting in either a fatality or lost-time per 200,000 hours worked (100 employees).

Manager in charge of the workplace - the most senior manager of a TVA plant, facility, area, property, major work activity, etc.

Office of Workers' Compensation Programs (OWCP) - An organization within the Employment Standards Administration of the U.S. Department of Labor that provides workers' compensation benefits consistent with the Federal Employees' Compensation Act.
(http://www.dol.gov/dol/esa/public/owcp_org.htm)

Primary Sponsor - Manager, HS&WC.

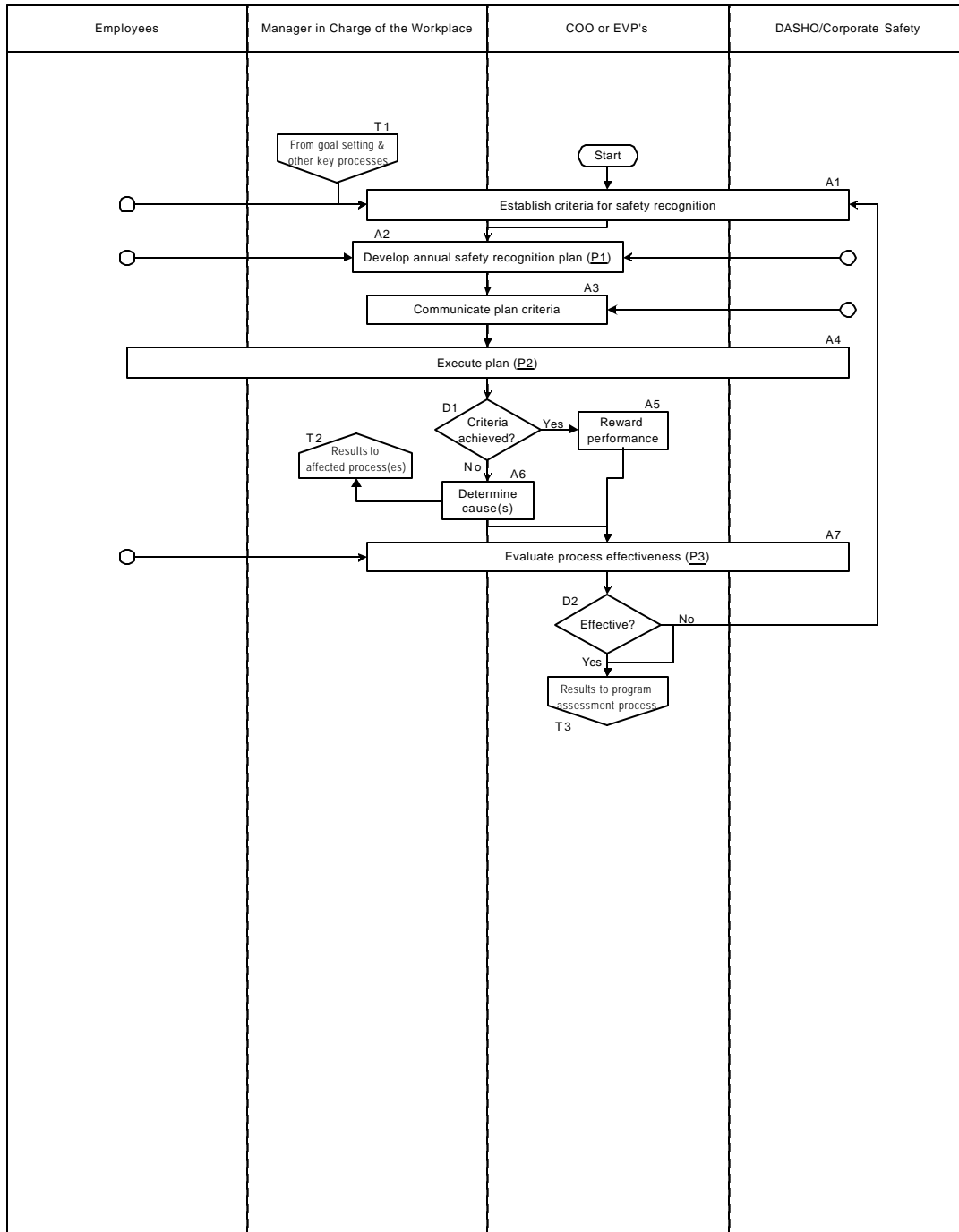
Total recordable incidence rate (TRIR) - the number of work-related injuries or illnesses resulting in either a fatality, lost-time, or medical treatment per 200,000 hours worked (100 employees).

TVA Safety Program Process Improvement Team - includes the safety managers of TVA organizations and Corporate Safety.



**APPENDIX A
Page 1 of 2**

PROCESS FLOW CHART AND CONTROL SYSTEM



TVA STANDARD PROGRAMS AND PROCESSES	RECOGNIZE AND REWARD SAFETY PERFORMANCE	TVA-SPP-18.007 Rev. 1 Page 10 of 10
---	---	---

APPENDIX A
Page 2 of 2

PROCESS FLOW CHART AND CONTROL SYSTEM

PROCESS DESCRIPTION PROVIDE FOR EMPLOYEE SAFETY RECOGNITION				OBJECTIVE OF PROCESS PROMOTE SAFE WORK PERFORMANCE THROUGH RECOGNITION & AWARDS		QUALITY INDICATOR Q1: THE LEVEL OF AWARENESS & PERCEPTION OF EFFECTIVENESS AMONG EMPLOYEES AS DETERMINED FROM THE RESULTS OF PERIODIC SURVEYS				
PROCESS FLOW CHART				PROCESS INDICATOR	LIMITS OR TARGETS	CHECKING			STANDARDS OR PROCEDURES	REMARKS
Employees	Manager in Charge of the Workplace	COO or EVPs	DASHO/Corporate Safety			CRITERIA	FREQUENCY	RESPONSIBILITY		
<pre> graph TD T1[From goal setting & after key personnel] --> A1[Establish criteria for safety recognition] A1 --> A2[Develop annual safety recognition plan P2] A2 --> A3[Communicate plan criteria] A3 --> A4[Execute plan P2] A4 --> D1{Criteria achieved?} D1 -- No --> A6[Determine cause(s)] A6 --> A7[Evaluate process effectiveness P3] D1 -- Yes --> A5[Reward performance] A5 --> D2{Effective?} D2 -- No --> A7 D2 -- Yes --> T3[Results to program improvement process] A7 --> T3 </pre>	<p>P1: PREPARE SAFETY RECOGNITION PLAN</p> <p>P2: CONDUCT PERFORMANCE REVIEWS</p> <p>P3: EVALUATE PROCESS EFFECTIVENESS</p>	<p>PRIOR TO BEGINNING OF FISCAL YEAR</p> <p>REVIEWS COMPLETED "ON TIME"</p> <p>ASSESSED</p>	<p>100%</p> <p>100%</p> <p>100%</p>	<p>ANNUAL</p> <p>QUARTERLY</p> <p>EVERY 3 YEARS</p>	<p>MANAGER IN CHARGE OF WORKPLACE/COO OR EVP</p> <p>MANAGER IN CHARGE OF WORKPLACE/COO OR EVP</p> <p>DASHO/ CORPORATE SAFETY</p>	<p>3.2.1A OF THIS PRACTICE</p> <p>3.2.3 OF THIS PRACTICE</p> <p>3.2.4E OF THIS PRACTICE</p>	<p>Q1: LEVEL OF AWARENES & PERCEPTION OF EFFECTIVENESS AMONG EMPLOYEES</p> <p>≥70% POSITIVE RESPONSE</p> <p>AVERAGE SCORE OF ALL PARTICIPANTS</p>	<p>PER SURVEY</p>	<p>DASHO/ CORPORATE SAFETY</p>	<p>INCORPORATE IN BUSINESS PLAN</p> <p>CONDUCT AS PART OF BUSINESS PLAN REVIEW</p>